



#3  
J. Douglas  
3/21/03

Application # 09/467,721

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Application of: Roman et al. Art Unit: 2613  
Appl. No.: 09/467,721 Examiner: An, Shawn S  
Filed: 12/20/99

Title: Variable General Purpose Compression for Video Images (ZLN)

**RECEIVED**

MAR 20 2003

Commissioner for Patents  
Washington, D. C. 20231

Technology Center 2600

**CONTENT OF INFORMATION DISCLOSURE STATEMENT**  
**UNDER § 1.98 (a) (3) (i)**

Sir:

The following references listed below, and on attached form 1449A/PTO, were cited regarding the patent application, Serial Number PCT/US99/10894 filed 17 May 1999:

US 5,715,823 A	Wood et al.	February 1998
US 5,416,602 A	Inga et al.	May 1995
WO 99/59472	Figuredo et al.	November 1999

The following references listed below, and on attached form 1449A/PTO, were cited regarding the patent application, Serial Number 09/312,922 filed 17 May 1999:

US 5,897,498	Canfield, II et al.	April 1999
--------------	---------------------	------------

The following references listed below, and on attached form 1449A/PTO, were cited regarding the patent application, Serial Number 09/433,978 filed 4 November 1999

US 6,054,990	Tran	04/25/2000
US 6,063,032	Grunwald	05/16/2000

The following references listed below, and on attached form 1449A/PTO, were cited regarding the patent application, Serial Number 09/473,190 filed 21 December 1999

US 6,115,485	Dumoulin et al.	09/05/2000
--------------	-----------------	------------

US 5,014,710	Maslak et al.	05/14/1991
US 5,812,119	Tateyama	09/22/1998

The following references listed below, and on attached form 1449A/PTO, were cited regarding the patent application, Serial Number 09/470,566 filed 22 December 1999

US 5,047,853	Hoffert et al.	09/10/1990
US 6,384,862	Brusewitz et al.	05/07/1997
US 6,339,616	Kovalev	01/15/1997
US 2001/0021260A1	Chung et al.	09/13/2001
US 6,078,691	Luttmer	06/20/2000
US 5,581,613	Nagashima et al.	12/03/1996

The following references listed below, and on attached form 1449A/PTO, are patents of which he is aware pursuant to his duty of disclosure in accordance with 37 CFR § 1.56.

US 4,410,916	Pratt et al.	10/18/1983
US 6,181,711 B1	Zhang et al.	01/30/2001
US 6,335,900 B1	Chen et al.	01/01/2002
US 5,999,655	Kalker et al.	12/07/1999
US 4,646,356	Anderson et al.	02/24/1987
US 4,301,469	Modeen et al.	11/17/1981
US 4,704,628	Chen et al.	11/03/1987
US 4,698,672	Chen et al.	10/06/1987
US 4,394,774	Widergren et al.	07/19/1983
US 4,385,363	Widergren et al.	05/24/1983
US 4302,775	Widergren et al.	11/24/1981

The following references listed below, and on attached form 1449A/PTO, were cited by Grunwald regarding the patent application, Serial Number 09/433,978 filed 04 November 1999.

US 5,471,989	Roundhill et al.	12/05/1995
--------------	------------------	------------

Pursuant to 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed as a representation that a search has been made. Furthermore, pursuant to 37 C.F.R. § 1.97(h), the filing of this Information Disclosure Statement shall not be construed to be an admission that the information cited in this statement is, or is considered to be, material to patentability, as defined in 1.56(b). The filing of this Information Disclosure Statement is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

It is submitted that the Information Disclosure Statement is in compliance with 37 C.F.R. § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the listed references.



Sheet 1 of 2

FORM PTO-1449 (Modified) (Rev. 7-80)		U.S. Dept. of Commerce Patent and Trademark Office		Atty. Docket No:		Appl. No: 09/467,721	
LIST OF REFERENCES CITED BY APPLICANT				Applicant: Kendyl A Roman et al			
(Use several sheets if necessary)				Filing Date: 12/20/99			
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
		US 5,715,823	02/10/1998	Wood et al.	128	660.01	09/25/ 1996
		US 5,416,602	05/16/1995	Inga et al.	358	403	05/31/ 1994
		US 5,897,498	04/27/1999	Canfield, II et al.	600	437	10/27/ 1997
		US 6,063,032	05/16/2000	Grunwald	600	440	09/28/ 1998
		US 6,054,990	04/25/2000	Tran	345	358	07/05/ 1996
		US 6,115,485	09/5/2000	Dumoulin et al.	382	128	10/06/ 1997
		US 5,014,710	05/14/1991	Maslak et al.	128	660.05	09/13/ 1988
		US 5,812,119	09/22/1998	Tateyama	345	202	06/06/ 1995
		US 5,047,853	09/10/1990	Hoffert et al.	358	133	03/19/ 1990
		US 6,384,862	05/07/1997	Brusewitz et al.	348	212	03/12/ 1997
		US 6,339,616	01/15/1997	Kovalev	375	240.16	05/30/ 1997
		US 2001/0021260 A	09/13/2001	Chung et al.	382	100	05/24/ 2001
		US 6,078,691	06/20/2000	Luttmer	382	235	01/23/ 1998
		US 5,581-613	12/03/1996	Nagashima et al.	380	201	07/05/ 1994
		US 4,704,628	11/03/1987	Chen et al.	358	136	07/16/ 1986
		US 4,698,672	10/06/1987	Chen et al.	358	136	10/27/ 1986
		US 4,410,916	10/18/1983	Pratt et al.	358	263	07/09/ 1981
		US 4,394,774	07/19/1983	Widergren et al.	382	56	06/26/ 1981
		US 4,385,363	05/24/1983	Widergren et al.	364	725	04/20/ 1981
<b>FOREIGN PATENT DOCUMENTS</b>							
		Document Number	Publication Date	Country	Class	Subclass	Translation Yes No
		WO 99/59472	11/25/1999	WO	A61B8	00	
<b>OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
Examiner				Date Considered			
* Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.							

RECEIVED

MAR 20 2003

Technology Center 2600



Sheet 2 of 2

FORM PTO-1449 (Modified) (Rev. 7-80)	U.S. Dept. of Commerce Patent and Trademark Office	Atty. Docket No:	Appl. No: 09/467,721
---	---	------------------	-------------------------

**LIST OF REFERENCES CITED BY APPLICANT**

Applicant: Kendyl A Roman et al

(Use several sheets if necessary)

Filing Date: 12/20/1999

RECEIVED

MAR 20 2003

**U.S. PATENT DOCUMENTS**

Technology Center 2600

Examiner Initials	Document Number	Date	Name	Class	Subclass	Filing Date
	US 4,302,775	11/24/1981	Widergren et al.	358	136	12/15/ 1978
	US 6,335,990 B1	01/01/2002	Chen et al.	382	261	12/04/ 1997
	US 6,181,711 B1	01/30/2001	Zhang et al.	370	468	10/10/ 1997
	US 5,999,655	12/7/1999	Kalker et al	382	234	07/11/ 1997
	US 4,646,356	02/24/1987	Anderson et al.	382	56	06/29/ 1984
	US 4,301,469	11/17/1981	Modeen et al.	358	75	06/29/ 1984
	US 5,471,989	12/05/1995	Roundhill et al.	128	660.04	10/12/ 1994

**FOREIGN PATENT DOCUMENTS**

Document Number	Publication Date	Country	Class	Subclass	Translation Yes No

**OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)**

Examiner	Date Considered
----------	-----------------

\* Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Gp/2613

Please type a plus sign (+) inside this box → ☐

Approved for use through 10/31/2002. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> <small>(to be used for all correspondence after initial filing)</small>	Application Number	09/462,721	
	Filing Date	12/20/1999	
	First Named Inventor	Kendyl A Roman	
	Group Art Unit	2613	
	Examiner Name	Am, Shawn S	
Total Number of Pages in This Submission		Attorney Docket Number	ZLN

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <i>Check #1043 for 180.00</i> <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):  <b>RECEIVED</b> MAR 20 2003  Technology Center 2600
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Kendyl A Roman
Signature	<i>[Signature]</i>
Date	March 13, 2003

CERTIFICATE OF MAILING	
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>March 12, 2003</u>	
Typed or printed name	Kendyl Roman
Signature	<i>[Signature]</i> Date <u>March 13, 2003</u>

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

U.S. PATENT & TRADEMARK OFFICE  
MAR 17 2003

PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$)  
180.00

## Complete if Known

Application Number 09/462,721  
Filing Date 12/30/1999  
First Named Inventor Keady, A Roman  
Examiner Name An, Shawa S  
Art Unit 2613  
Attorney Docket No. ZLN

## METHOD OF PAYMENT (check all that apply)

☒ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number  
Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☐ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	2001	375	Utility filing fee	
1002	330	2002	165	Design filing fee	
1003	520	2003	260	Plant filing fee	
1004	750	2004	375	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims		Extra Claims		Fee from below		Fee Paid
Independent	Multiple Dependent	-20** =	-3** =	X	X	

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	84	2201	42	Independent claims in excess of 3
1203	280	2203	140	Multiple dependent claim, if not paid
1204	84	2204	42	** Reissue independent claims over original patent
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	830	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1808	180	1808	180	Submission of Information Disclosure Stmt	180.00
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)  
180.00

## SUBMITTED BY

Name (Print/Type) Keady, A Roman  
Signature [Signature]  
Registration No. [Blank]  
Telephone 408 739-9517  
Date March 13, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.